

*Bureau of Quality Improvement Services*

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# **Comprehensive Survey Tool**

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Division of Disability & Rehabilitative Services  
*November 2008*

# BQIS Goals

Goals	Resources/Methods
1. Enhance emphasis on individuals' outcomes	<ul style="list-style-type: none"><li>• Centers for Medicare &amp; Medicaid Services (CMS) Quality Framework</li><li>• Council on Quality and Leadership (CQL) Personal Outcome Measures</li></ul>
2. Assure compliance with Federal waiver assurances and State waiver regulations in a meaningful way	<ul style="list-style-type: none"><li>• Federal HCBS waiver assurances</li><li>• 460 IAC Articles 6 &amp; 7</li></ul>
3. Support individuals to receive quality services and achieve their desired outcomes	<ul style="list-style-type: none"><li>• Comprehensive Survey Tool (CST)</li><li>• Interdisciplinary team corrective action planning</li></ul>

# Value of Outcome Based Approach

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## This approach provides:

- Focus on individuals' needs and wants.
- Good gauge of the purchasing value of dollars spent on services
- Clearer sense of how waiver services impact individuals.
- Qualitative picture of the value of dollars spent on services.
- Solid evidence of individuals' experiences based on aggregated, individual-specific reports
- More accurate survey findings – moves away from shotgun survey strategy
- Common sense approach

# Foundation for BQIS Focus

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## **CMS Quality Framework**

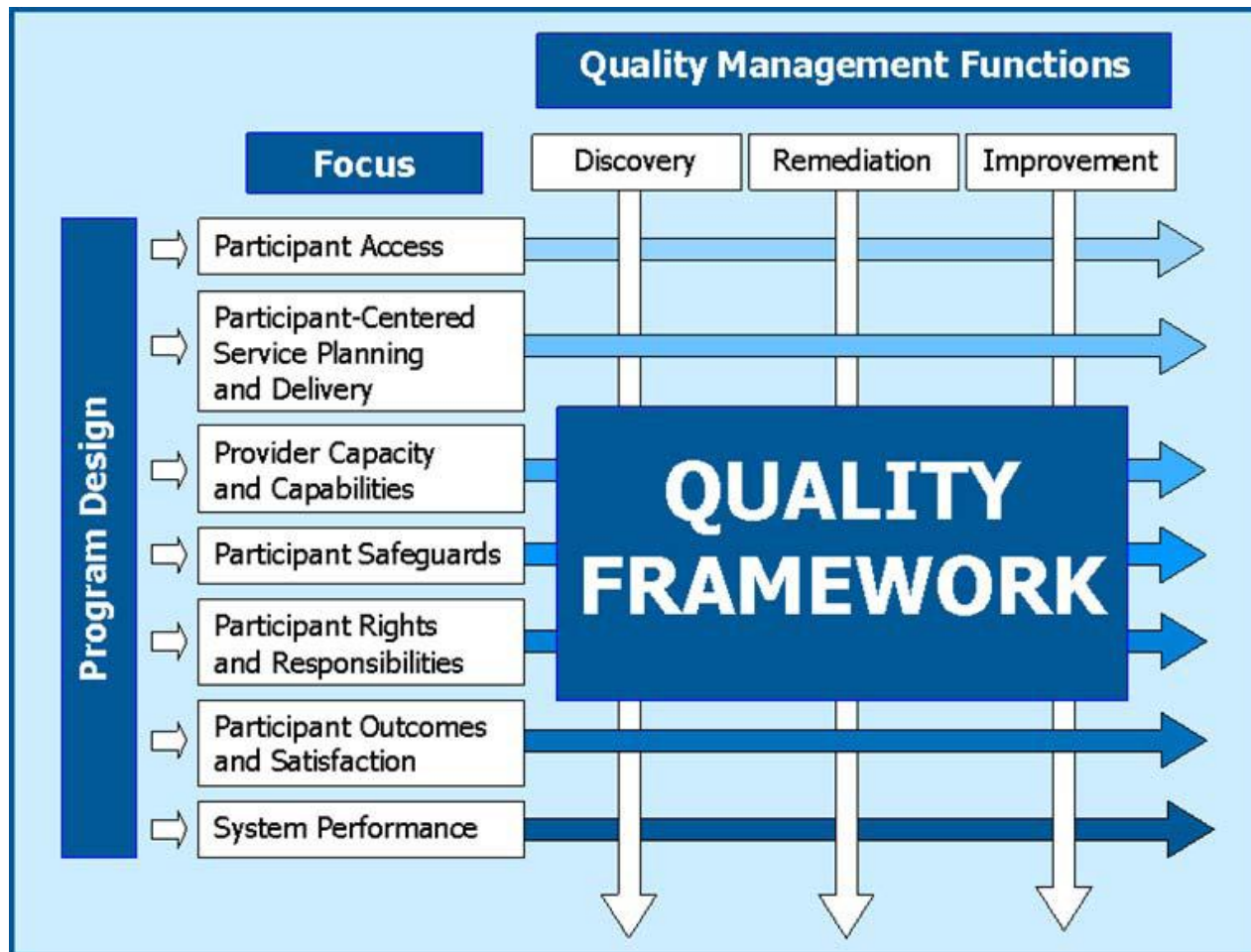
- Participant Access
- Participant Centered Service Planning and Delivery
- Provider Capacity and Capabilities
- Participant Safeguards
- Participant Rights and Responsibilities
- Participant Outcomes and Satisfaction
- System Performance

## **CQL Basic Assurances and CQL Personal Outcome Measures**

## **Compliance**

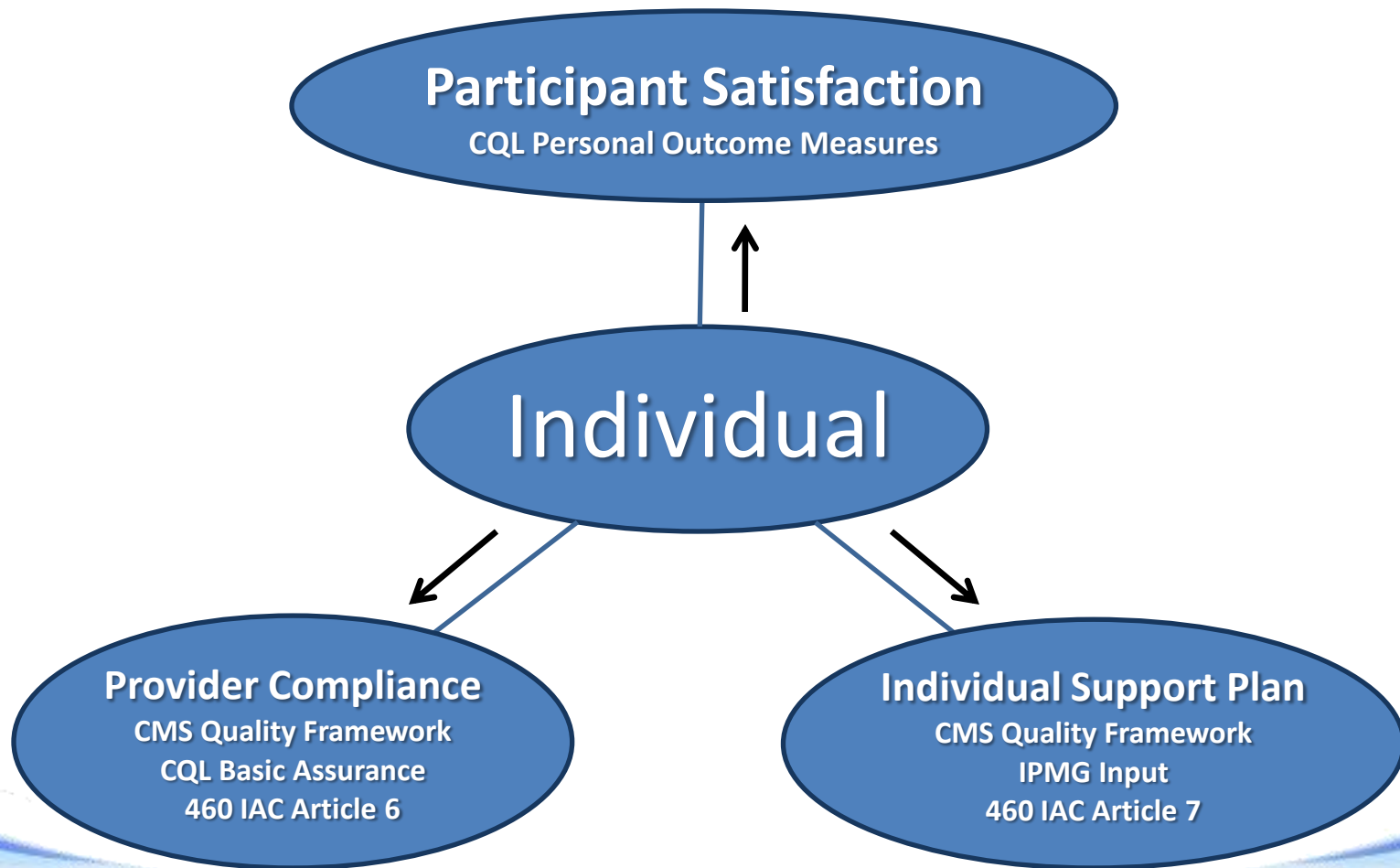
- 460 IAC Articles 6 & 7
- Federal HCBS Waiver Assurances

# CMS HCBS Quality Framework



# Comprehensive Survey Tool (CST)

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# **Participant Satisfaction Component of CST**

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**We will use CQL's Personal Outcome Measures interviews to obtain participant input on services being received**

- My Self: Friends, family, relationships, security, health, threats, etc.
- My World: Choices about work, life, residence; access to environment and personal belongings; integration and social roles, etc.
- My Dreams: Personal goals, looking to the future, respect from others, etc.

# **Individual Service Plan Review Component of CST**

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- **Reviewing sample of waiver participants in each waiver**
- **Goals:**
  - Is the ISP meeting person's needs?
  - Is the ISP addressing all of the individual's needs as identified through the interdisciplinary team planning process?
  - Is the ISP being implemented as the interdisciplinary team anticipated?
  - Is the ISP continually reviewed and revised according to individual's changing needs?



# Key Terms—Provider Compliance Component

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- **IN Waiver Regulations** – 460 IAC Articles 6 and 7
- **Regulation Intent** – major focus or expected outcome of regulation
- **Compliance Indicators:**
  - Specific expectations for each Quality Framework focus area
  - Combination of the various related waiver regulations and Quality Framework Focus Areas
  - Provide an indication of the condition or direction of provider systems
- **Probes** – guidelines or questions to determine the presence or absence of indicators

# **Provider Compliance Component of CST**

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- **Quality Framework Focus Area**
  - Participant–Centered Service Planning
  - Participant-Centered Service Development
  - Participant Safeguards
  - Participant Rights and Responsibilities
  - Participant Outcomes and Satisfaction
- **Related Personal Outcome Measures**
- **Compliance Indicators with Probes**
  - Met/Not Met
  - If not met, why?
  - Specify regulations not met & examples

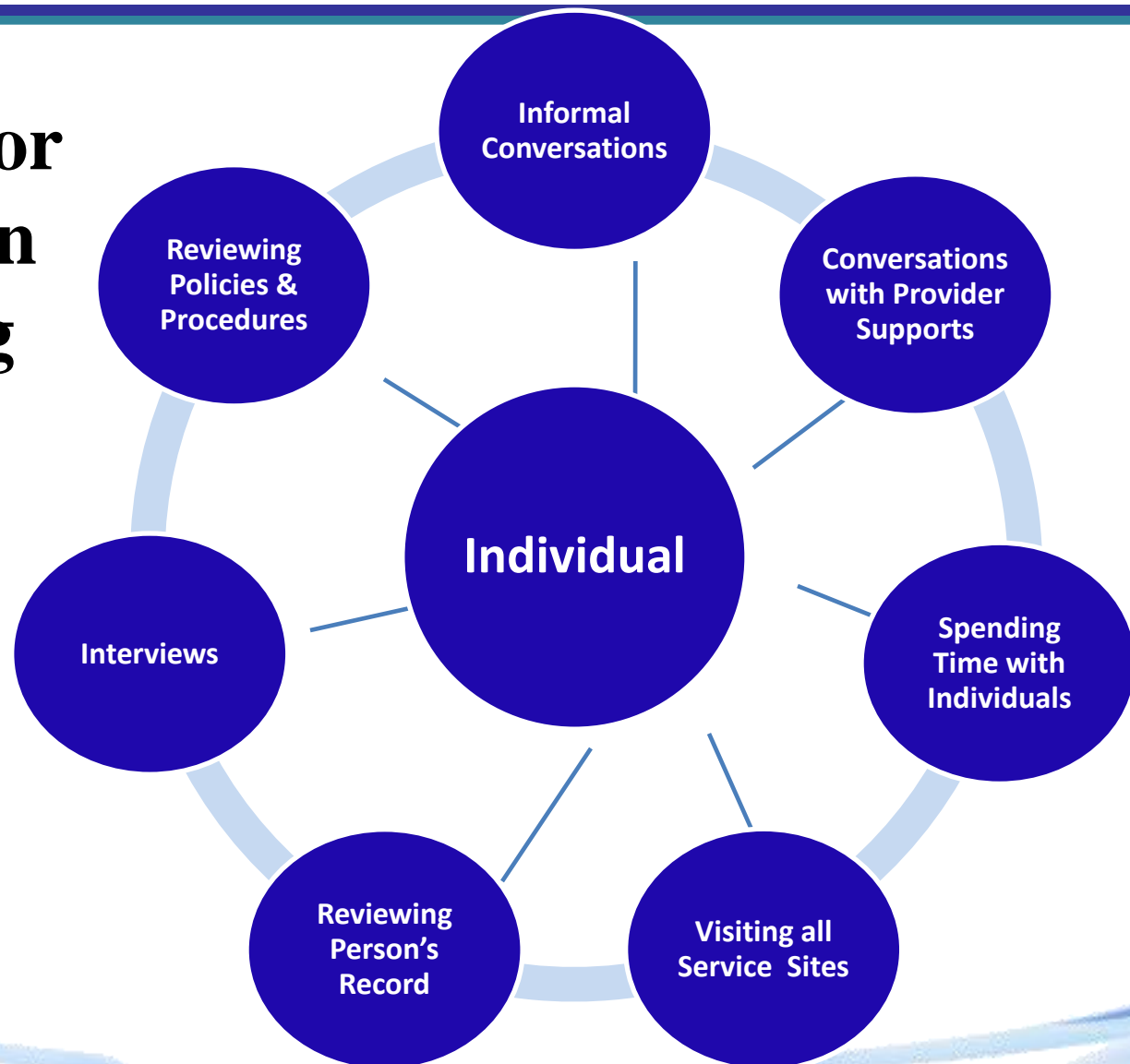
# Provider Compliance—Tool

## Snapshot Example of Indicator

CMS Quality Framework Focus Area Compliance Indicator		Discovery Mechanisms		
<b>Focus I: Participant-Centered Service Planning</b> <b>I.A. Assessment</b> <b>Desired Outcome:</b> <i>Comprehensive information concerning each participant's preferences and personal goals, needs and abilities, health status and other available supports is gathered and used in developing a personalized service</i>	<b>IA.1 The individual's support team gathers information about the individual's preferences, personal goals, needs and abilities to develop the individual's support plan.</b> <b>Supporting Regulations:</b> 6-19-1; 6-19-6; 7-4-2; 7-4-3; 7-5-5; 7-5-8; 1. Does the support team, including the case manager, know about: a. the individual's wants and needs, including health, safety? 6-19-1 b. behavioral needs? 6-19-1 c. the array of available <b>current</b> waiver and non-waiver services and supports? 6-19-1 d. the amount of the individual's available funding? 6-19-1	<p>Discovery mechanisms are not meant to be inclusive. They are meant to be suggestions to gather information for the surveyor. Guidelines are intended to help the surveyor to make decisions about the presence or absence of the Indicators. The Discovery mechanisms listed here in no way imply they are meant to be directives for completion, or a requirement to be answered in every instance.</p>		
		<p>Observe if any behavior issues are present during the visit.</p> <p>Observe if any medical conditions that might require treatments exist.</p> <p>Observe any formal, structured training programs that are implemented during the visit.</p>	<p>Ask the person if, how and when they participated in the development of their plan.</p> <p>Ask the direct support person if and how they participated in the development of the person's plan.</p>	<p>Review the person's Individual Support Plan (ISP) for assessments that support the person's desires and needs.</p> <p>Review the ISP to determine the make-up of the Interdisciplinary Team members.</p> <p>Review the ISP to determine if the number and type of support team members reflect the needs</p>

# Discovery Mechanisms

## Surveyor Decision Making

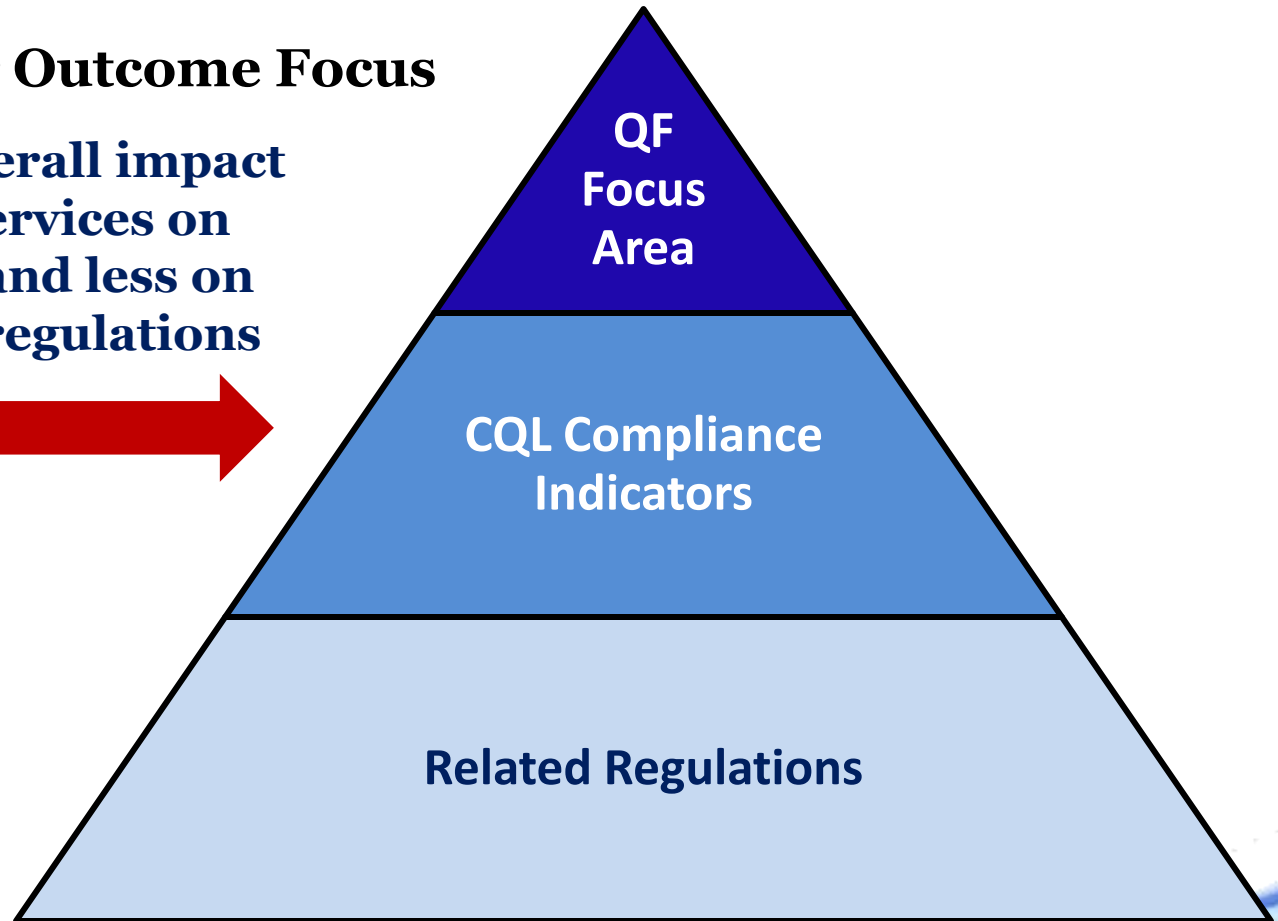


# Structure of Provider Compliance Component

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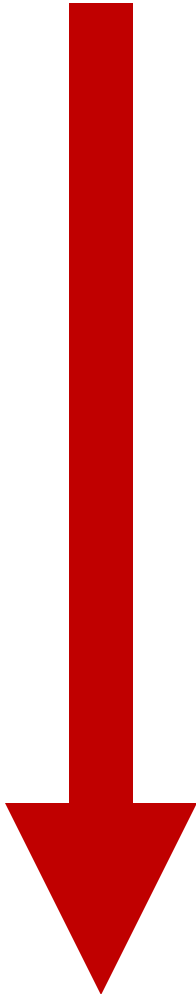
## Consumer Outcome Focus

Reviews overall impact of waiver services on individual and less on individual regulations



# Survey Process

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1. Select Random Sample of Individuals
2. Schedule Survey
3. Review Documents
4. Conduct Survey
5. Deliver Findings
6. Receive Cap
7. Validate Cap

# **Snapshot of Consumer's Life: The Survey Process**

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- 1. For each waiver select sample of individuals**
- 2. Schedule survey visit in person's home or site of service delivery**
- 3. Research available data from InSite & DART**
- 4. Begin survey with introduction meeting**
- 5. Conduct Personal Outcome Measures® interview early in process**
- 6. Validate information through:**
  - Talking with person and his/her support staff,
  - Checking provider policies and procedures
  - Reviewing individual's records
  - Visiting sites where individual receives services





# **Snapshot of Consumer's Life: The Survey Process**

(Continued)

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7. Surveyor uses probes to assist in deciding whether each compliance indicator is met or not met for the individual selected.
8. If compliance indicators are not met, provide examples and specify supporting regulations that are not met.
9. Issue report to individual's support team to develop any identified corrective action items.
10. Conduct follow-up visits as necessary until providers have implemented corrective action.



# Continuous Improvement

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**Year X: New Compliance Indicators**

**As expectations on quality change new rules are promulgated**

**Year X: New Compliance Indicators**

**As expectations on quality change new rules are promulgated**

**Year 1: Compliance Indicators**



# **Preparation for Conducting Surveys:**

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- **Field-testing**
- **Development of:**
  - Reference materials
  - Data collection worksheets
  - Standardized report templates
  - Database
- **Extensive CST training for all surveyors**
- **CQL training on satisfaction component**
- **Inter-rater reliability testing in field**

# **Extensive Surveyor Training**

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- **On an ongoing basis surveyor training includes:**
  - Didactic sessions
  - Experiential opportunities
  - Scenarios
  - Coaching in field
  - Mentoring
  - Validation
  - Expert panel support

# Where We Are Now

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- **Collaborating with IPMG**
  - Tool content and survey process
  - Corrective action planning and implementation
  - Training on the nuts and bolts of the ISP process
- **Conducting second round of field testing**
- **Developing data management system to track and report findings**
  - Interactive web interface
  - Online submission of corrective action plans
  - Provider specific data repository

# Stay Tuned

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- BQIS is updating its website, check back often for new information and updates:
  - <http://www.in.gov/fssa/ddrs/2635.htm>
- Contents include:
  - Quality-related bulletins
  - Information on upcoming webinars
  - New BQIS tools and resources

# Updates by E-mail

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- Register with the DDRS E-mail list serve to get the latest updates and information about BQIS and BDDS
- Send an E-mail to: [BDDSBulletins@fssa.in.gov](mailto:BDDSBulletins@fssa.in.gov)
- Please include the first and last name(s), and E-mail address(es) for each person registering